

# Supporting Documentation Checklist for New Cases and Renewals:

Supporting documentation must be bound with sections clearly delineated by dividers with tabs. If there are more than two documents under one of the numbered tabs, please subdivide the numbered sections into lettered subsections with tabs. Organized submissions ensure an efficient review of an applicant's case and reduce the need for clarification that may delay processing.

The following is a list of suggested documentation in the order in which it should be indexed. Additional documents may be requested depending on the circumstances of the case.

## **I. Proof of Nationality of Investor or Applicant**

- Photocopy of Canadian passport
- Evidence of legal status in Canada

## **II. Ownership Documents: (either A, B or C)**

### **A. Sole Proprietorship:**

- Business registration documents

### **B. Partnership:**

- Partnership or joint venture agreement
- Shares/stock certificates indicating total shares issued and outstanding shares

### **C. Corporation:**

- Shares/stock certificates indicating distribution of ownership, i.e. shares held by each firm and shares held by individual owners
- Corporate matrix
- If publicly traded on the principal stock exchange of a treaty country, enclose a sample of recently published stock quotations

## **III. E-1 Trade:**

- Purchase orders
- Warehouse/custom declarations
- Bills of lading
- Sales contracts/contracts for services
- Letters of credit
- Carrier inventories
- Trade brochures
- Insurance papers documenting commodities imported into the U.S.
- Accounts receivable and accounts payable ledgers
- Client lists
- Other documents showing international trade is substantial and that at least 51% of the trade is between U.S. and the treaty country. Documents should also show that trade supports an ongoing business entity in the treaty country.

## **IV. E-2 Investment:**

### **A. For an Existing Enterprise: (show purchase price)**

- Tax valuation
- Market appraisal

### **B. For a New Enterprise: (show estimated start-up cost)**

- Trade Association Statistics
- Chamber of Commerce Estimates
- Market Surveys

**C. Source of Investment:**

- Personal statement of net worth prepared by a certified accountant
- Transactions showing payment of sold property or business (proof of property ownership and promissory notes) and rental income (lease agreements)
- Voided investment certificates or internal bank vouchers and appropriate bank statement crediting proceeds
- Debit and credit advices for personal and/or business account withdrawals
- Audited financial statement
- Annual report of parent company
- Net worth statements from certified professional accountant

**D. Evidence of Investment:**

**1. Existing Enterprise:**

- Escrow documents
- Signed purchase/sales agreement
- Closing and settlement papers
- Loan or mortgage documents
- Promissory notes
- Financial reports
- Tax returns
- Security agreements
- Assumption of lease agreement
- Business account statement for routine operations

**2. New Enterprise:**

- Inventory listing, shipment invoices of inventory, equipment or business related property
- Receipts for inventory purchases
- Canceled checks or official payment receipts for expenditures
- Canceled check for first month's rent or full annual advance rent payment
- Lease agreement
- Purchase orders
- Improvement expenses
- Initial business accounts statements
- Wire transfer receipts

**V. Marginality:**

**A. For Existing Business:**

- U.S. corporate tax returns
- Latest audited financial statement or non-review statements
- Annual reports
- Payroll register
- W-2 and W-4 tax forms
- Canceled checks for salaries paid and/or corresponding payroll account

**B. For New Business:**

- Payroll register, records of salaries paid to employees (if any), employee data including names, rates of pay, copies of W-2's
- Financial projections for next 5 years, supported by a complete and thorough business plan
- Business income and current corporate tax returns
- Proof of registration, ownership, audited financial and review engagements

**VI. Real & Operating Commercial Enterprise:**

- Occupational license
- Business License/business permits
- Sales tax receipt
- Utility/telephone bills
- Business transaction records
- Current/commercial account statements

- Letters of credit
- Invoices from suppliers
- Advertising leaflets
- Business brochures/promotional literature
- Newspaper clippings

**VII. Executive/Managerial/Supervisory/Essential Skills:**

- Letter from the E-visa enterprise providing specific information on the applicant and the reasons for his/her assignment to the U.S. The letter must explain the employee's role in the E-visa company (job title and duties), the applicant's executive or supervisory responsibilities or, if not a supervisor, his/her specialist role, the level of education and knowledge required by the employee's position, his/her employment experience, progression of promotion or high level training or special qualifications and the reasons why a U.S. citizen or legal permanent resident cannot fill the position (if the position is not managerial or supervisory).
- Letter from responsible official at U.S. company or office identifying the need for assigned employee.
- Organizational chart showing current staffing pattern at U.S. company
- Evidence of executive, supervisory or specialized knowledge, education, experience, skills or training, such as certificates, diplomas or transcripts